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PTO/SB/05 (2/98)

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (Only for new nonprovisional applications under 37 CFR § 1.53(b))	Attorney Docket No.	0942.4190002/RWE/GER
	First Inventor or Application Identifier	Paul J. Price
	Title	Method for Expanding Embryonic Stem Cells in Serum-Free Culture
	Express Mail Label No.	

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
<p>1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification [Total Pages <u>51</u> ] (preferred arrangement set forth below) - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R &amp; D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure</p> <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <u>2</u> ]</p> <p>4. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages <u>2</u> ] a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed) [Note Box 5 below] i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).</p> <p>5. <input checked="" type="checkbox"/> Incorporation By Reference (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.</p> <p>6. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies</p>	
<b>ACCOMPANYING APPLICATION PARTS</b>	
<p>8. <input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>9. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee) <input type="checkbox"/> Power of Attorney</p> <p>10. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>11. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>12. <input checked="" type="checkbox"/> Preliminary Amendment;</p> <p>13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</p> <p>14. <input type="checkbox"/> *Small Entity Statement(s) (PTO/SB/09-12) <input type="checkbox"/> Statement filed in prior application, Status still proper and desired</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> <p>16. <input checked="" type="checkbox"/> Other: 37 C.F.R. § 1.136(a)(3) Authorization <input type="checkbox"/> Other:</p> <p><small>*NOTE FOR ITEMS 1 &amp; 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).</small></p>	
<p>17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:</p> <p><input type="checkbox"/> Continuation <input checked="" type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-Part (CIP) of prior application No: <u>08/781,772</u></p> <p>Prior application information: Examiner <u>Kerr, J.</u> Group/Art Unit: <u>1633</u></p>	

<b>18. CORRESPONDENCE ADDRESS</b>					
<input type="checkbox"/> Customer Number or Bar Code Label		(Insert Customer No. or Attach bar code label here)		or <input checked="" type="checkbox"/> Correspondence address below	
NAME	STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.				
	Attorneys at Law				
ADDRESS	Suite 600, 1100 New York Avenue, N.W.				
CITY	Washington	STATE	DC	ZIP CODE	20005-3934
COUNTRY	USA	TELEPHONE	(202) 371-2600	FAX	(202) 371-2540

NAME (Print/Type)	Grant E. Reed	Registration No. (Attorney/Agent)	41,264
SIGNATURE		Date	9/7/99

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

DUPLICATE

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**FEE TRANSMITTAL**

for FY 1999

Patent fees are subject to annual revision.

Small Entity payments *must* be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

See 37 C.F.R. §§ 1.27 and 1.28.

**Complete if Known**

Application Number	To Be Assigned
Filing Date	September 7, 1999
First Named Inventor	Paul J. Price
Examiner Name	To Be Assigned
Group / Art Unit	To Be Assigned
Attorney Docket Number	0942.4190002/RWE/GER

TOTAL AMOUNT OF PAYMENT (\$ 2,436.00)

**METHOD OF PAYMENT (check one)**

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number	19-0036
Deposit Account Name	Sterne, Kessler, Goldstein & Fox P.L.L.C.

- ☐
- Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- 2.
- ☒
- Payment Enclosed:
- ☒
- Check No. 25303

☐ Money Order ☒ Other\*

\*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	760	201	380	Utility filing fee	760.00
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	760	208	380	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1) (\$)					760.00

**2. EXTRA CLAIM FEES**

	Extra	Fee from below	Fee Paid
Total Claims 38 - 20** = 18	X 18	=	324.00
Indep. Claims 17 - 3** = 14	X 78	=	1092.00
Multiple Dependent	260.00	=	260.00

\*\* or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	
103	18	203	9	Claims in excess of 20	
102	78	202	39	Independent claims in excess of 3	
104	260	204	130	Multiple dependant claim	
108	78	209	39	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2) (\$)					1676.00

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	380	216	190	Extension for reply within second month	
117	870	217	435	Extension for reply within third month	
118	1,360	218	680	Extension for reply within fourth month	
128	1,850	228	925	Extension for reply within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,210	241	605	Petition to revive - unintentional	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))	
149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify) :					
Other fee (specify) :					
*Reduced by Basic Filing Fee Paid					
SUBTOTAL (3) (\$)					0.00

**SUBMITTED BY**

Typed or Printed Name

Grant E. Reed

Signature

Date

9/7/99

**Complete (if applicable)**

Reg. Number

41,264

Deposit Acct. User ID

19-0036

1c672 U.S. PTO  
09/07/99

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Price *et al.*

Appl. No. To be assigned  
(Divisional of Appl. No. 08/781,772,  
filed January 10, 1997)

Filed: September 7, 1999

For: **Method for Expanding Embryonic  
Stem Cells in Serum-Free Culture**

Art Unit: To be assigned

Examiner: To be assigned

Atty. Docket: 0942.4190002/RWE/GER

1c672 U.S. PTO  
09/30/99

**Authorization To Treat A Reply As Incorporating An Extension Of Time  
Under 37 C.F.R. § 1.136(a)(3)**


Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

  
Grant E. Reed  
Agent for Applicants  
Registration No. 41,264

Date: September 7, 1999  
1100 New York Avenue, N.W.  
Suite 600  
Washington, D.C. 20005-3934  
(202) 371-2600



09/07/99

## STERNE, KESSLER, GOLDSTEIN &amp; FOX P.L.L.C.

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NANCY J. DEGEN\*\*ROBERT H. BENSON\*  
OF COUNSEL\*BAR OTHER THAN D.C.  
\*\*REGISTERED PATENT AGENTS

September 7, 1999

WRITER'S DIRECT NUMBER:  
(202) 789-5507**Box Patent Application**Assistant Commissioner for Patents  
Washington, D.C. 20231

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)  
 Appl. No. *to be assigned*; Filed: September 7, 1999  
 (Divisional of Appl. No. 08/781,772, filed January 10, 1997)  
 For: **Method for Expanding Embryonic Stem Cells in Serum-Free Culture**  
 Inventors: Price *et al.*  
 Our Ref: 0942.4190002/RWE/GER

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.  
 Patent and Trademark Office:

1. USPTO Utility Patent Application Transmittal Form PTO/SB/05;
2. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3) (*in duplicate*);
3. PTO Fee Transmittal Form PTO/SB/17 (*in duplicate*);
4. Copy of Declaration for Patent Application filed in Appl. Serial No. 08/781,772, executed by Paul J. Price, Mindy D. Goldsborough, and Mary Lynn Tilkins;
5. Preliminary Amendment;

Assistant Commissioner for Patents  
September 7, 1999  
Page 2

6. U.S. Utility Patent Application entitled:

**Method for Expanding Embryonic Stem Cells in Serum-Free Culture**

and naming as inventors:

Paul J. Price  
Mindy D. Goldsborough  
Mary Lynn Tilkins

the application comprising:

- a. A specification containing:

- (i) 51 pages of description prior to the claims;
- (ii) 17 pages of claims (Claims 1-88);
- (iii) a one (1) page abstract;

- b. 2 sheets of drawings: (Figures 1A, 1B, 2A, and 2B).

7. Our Check No. 25303 in the amount of \$2,436.00 to cover:
- |           |  |
|-----------|--|
| \$ 760.00 | Basic Filing Fee (37 C.F.R. § 1.16(a));                      |
| \$1092.00 | Independent claims in excess of three (37 C.F.R. § 1.16(b)); |
| \$ 324.00 | Claims in excess of twenty (37 C.F.R. § 1.16(c));            |
| \$ 260.00 | Multiple dependent claims (37 C.F.R. § 1.16(d)); and         |

8. Two (2) return postcards.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

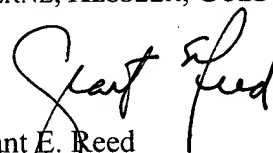
**A Preliminary Amendment is being filed herewith. When calculating the excess claim fee, please base the calculation on claims 89-126 that will be pending after the preliminary amendment is entered.**

Assistant Commissioner for Patents  
September 7, 1999  
Page 3

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in black ink, appearing to read "Grant E. Reed". The signature is fluid and cursive, with the first name "Grant" and last name "Reed" clearly distinguishable.

Grant E. Reed  
Agent for Applicants  
Registration No. 41,264